

AO #2 GP/2681

PATENT  
Attorney Docket No. 13226US02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:

Gottfried Ungerboeck  
Arthur J. Carlson

Serial No. 09/898,850

Filed: July 3, 2001

For: SYSTEM AND METHOD FOR  
HUFFMAN SHAPING IN A DATA  
COMMUNICATION SYSTEM

Examiner: Not yet assigned

Group Art Unit: 2681

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on February 4, 2002.

By:

Christopher C. Winslade  
Reg. No. 36,308

**TRANSMITTAL OF SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT  
AFTER APPLICATION FILING DATE**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

**ENCLOSURES**

Enclosed are the following:

- \* A completed PTO form 1449 (modified) which has one (1) page.
- \* A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. Five (5) references are enclosed.
- \* A copy of Communication received from the International Searching Authority for the PCT/International application, No. PCT/US01/25098, corresponding to the parent of the above application.

**RECEIVED**  
**FEB 28 2002**  
**Technology Center 2600**

## **FEE DETERMINATION**

\* No fee is believed to be due because:

- \* The applicant(s) believe(s) that this statement and enclosures are being filed before the first Office action on the merits has been mailed by the PTO. The basis of this belief is that no Office action on the merits appears to have been received by the undersigned to date.

In accordance with 37 CFR §1.97(e), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this statement.

## **FEE PAYMENT**

The following arrangements have been made to pay the fees calculated above:

- \* No fee is believed to be due.

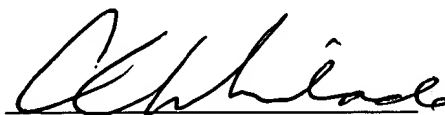
The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

## **REQUEST FOR CONSIDERATION**

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is requested to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicants to indicate consideration of the enclosed references.

Respectfully submitted,

Dated: February 4, 2002



Christopher C. Winslade  
Reg. No. 36,308  
Attorney for applicant

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|                                                                                                                               |                                                            |                               |                          |
|-------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|-------------------------------|--------------------------|
| Form PTO-1449<br>(Rev. 8-83)<br>(modified)<br><br><b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary) | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.<br>13226US02 | SERIAL NO.<br>09/898,850 |
|                                                                                                                               | APPLICANT(s):<br>Ungerboech                                |                               |                          |
|                                                                                                                               | FILING DATE<br>July 3, 2001                                | GROUP ART UNIT:<br>2681       |                          |

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NO. | DATE     | NAME            | CLASS | SUBCLASS | FILING DATE<br>IF<br>APPROPRIATE |
|---------------------|----|--------------|----------|-----------------|-------|----------|----------------------------------|
|                     | A1 | 5,268,961    | 12/07/93 | Ng              | 380   | 19       |                                  |
|                     | A2 | 5,528,628    | 06/18/96 | Park et al.     | 375   | 240      |                                  |
|                     | A3 | 5,559,561    | 09/24/96 | Wei             | 348   | 470      |                                  |
|                     | A4 | 5,914,840    | 06/22/99 | Kawakami et al. | 360   | 130.23   |                                  |
|                     |    |              |          |                 |       |          |                                  |
|                     |    |              |          |                 |       |          |                                  |
|                     |    |              |          |                 |       |          |                                  |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |  | DOCUMENT<br>NO. | PUBLICATION<br>DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|---------------------|--|-----------------|---------------------|---------|-------|----------|-------------|----|
|                     |  |                 |                     |         |       |          | YES         | NO |
|                     |  |                 |                     |         |       |          |             |    |
|                     |  |                 |                     |         |       |          |             |    |
|                     |  |                 |                     |         |       |          |             |    |
|                     |  |                 |                     |         |       |          |             |    |
|                     |  |                 |                     |         |       |          |             |    |
|                     |  |                 |                     |         |       |          |             |    |

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |                                                                                                                                              |
|--|----|----------------------------------------------------------------------------------------------------------------------------------------------|
|  | C1 | Kschischang, "Optimal Nonuniform Signaling for Gaussian Channels," <i>IEEE Transactions on Information Theory</i> , 39(3):913-929 (May 1993) |
|  |    |                                                                                                                                              |
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|  |    |                                                                                                                                              |
|  |    |                                                                                                                                              |
|  |    |                                                                                                                                              |

EXAMINER

DATE CONSIDERED:

\*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.